



Patent  
45278.00004.UTL1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:  
Jonathan S. Spigel, et al.

Serial No.: 10/680,589

Filed: October 6, 2003

For: SYSTEMS AND METHODS FOR  
SECURITIZING A COMMODITY

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) **Group Art Unit: TBA**  
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) **Examiner: TBA**  
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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In compliance with the Applicant's duty under 37 CFR § 1.56, the following information is brought to the attention of the Examiner.

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(37 CFR §1.8 a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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**REFERENCES**

- ☒ The references are listed on the attached Form PTO/SB/08a and copies are enclosed for the convenience of the Examiner.
- ☐ Copies of the references listed on the attached Form PTO/SB/08a have already been submitted in corresponding Patent Application No. \_\_\_\_\_ and therefore, copies of the same are not enclosed.

The items identified in this Information Disclosure Statement may or may not be “material” pursuant to 37 CFR § 1.56 and the submission thereof by Applicant shall not be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR § 1.97(h)), or even qualifies as “prior art” 35 USC § 102 with respect to this invention unless specifically designated by Applicant as such.

The filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information, as defined in 37 CFR § 1.56, exists.

**DISCLOSURE**

☒ The attached IDS is being filed in accordance with 37 CFR §§ 1.97 and 1.98. This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b)(3), that is before the mailing of a first Office Action on the merits. Thus, no petition or fee is required. However, if the undersigned representative of Applicant is in error in this regard, then the Examiner is requested to consider this IDS as filed under § 1.97(c)

☐ The attached Information Disclosure Statement is being filed in accordance with 37 CFR §§ 1.97(c) and 1.98. This IDS is being filed after an action on the merits but before a Final Action under § 1.113 or a Notice of Allowance under § 1.311. In the event that this IDS is not received before a Final Action under § 1.113 or a Notice of Allowance under § 1.311, the Applicant respectfully requests the filing of these papers to be considered a petition requesting consideration of this IDS pursuant to 37 CFR § 1.97(d).

☐ The attached Information Disclosure Statement is being filed in accordance with 37 CFR §§ 1.97(d) and 1.98. This IDS is being filed after receipt of a final action but before receipt of a Notice of Allowance Under § 1.311.

☐ I certify that pursuant to 37 CFR 1.97(e)(1), each item of information contained in this Information Disclosure Statement was first cited in any communication (International Search Report – copy enclosed) from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

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Respectfully submitted,

PAUL, HASTINGS, JANOFSKY & WALKER

Dated: 1/21/04

By: 

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Application Number	10/680,589
				Filing Date	October 6, 2003
				First Named Inventor	Jonathan S. Spigel, et al
				Group Art Unit	To Be Assigned
				Examiner Name	To Be Assigned
Sheet	1	of	2	Attorney Docket Number	45278.00004

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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	AA	Calandra, Thom, <u>New Fund Will Revolutionize Bullion Ownership</u> . CBS.MarketWatch.com	
	AB	Calandra, Thom, <u>Calandra on Gold</u> . CBS.MarketWatch.com	
	AC	Calandra, Thom, <u>New NYSE "Paper Gold" Will Spark Investment Demand</u> . CBS.MarketWatch.com	
	AD	Central Gold-Trust IPO Prospectus. June 25, 2003	
	AE	EQUITY GOLD TRUST Form S-1, May 13, 2003	

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		Group Art Unit	To Be Assigned		
		Examiner Name	To Be Assigned		
Sheet		of		Attorney Docket Number	45278.00004

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	AF	IndexFunds.com Staff, <u>Gold ETF To Test Retail Investor Demand</u> . June 11, 2003	
	AG	kitco.com. re The World Gold Council. <a href="http://www.kitco.com/ind/Appel/jun262003.html">http://www.kitco.com/ind/Appel/jun262003.html</a>	
	AH	Pandya, Kiran, <u>Companies Find New Shine to Gold Glitter</u> . <a href="http://web.mid-day.com/news/business/2003/july/58479.htm">web.mid-day.com/news/business/2003/july/58479.htm</a> . July 14, 2003	
	AI	Pisani, Bob, <u>Coming Soon: Buy Gold Like a Stock</u> . <a href="http://moneycentral.msn.com/content/CNBCTV/Articles/TV%20Reports/P50438.asp">http://moneycentral.msn.com/content/CNBCTV/Articles/TV Reports/P50438.asp</a>	
	AJ	Radhakrishnan, Sankar, <u>WGC To Unveil New Ad Campaign</u>	
	AK	<u>The Gold Equity Share: An Idea Whose Time Has Come</u>	

Examiner Signature	SAN/81384.1	Date Considered	
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No fee is believed due with this submission; however, the Commissioner is authorized to charge any fee required, or to credit any overpayment, to our Deposit Account No. 50-2613.

Respectfully submitted,

PAUL, HASTINGS, JANOFSKY & WALKER LLP

Dated: 1/21/09

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